

Auditors' Initials and Date

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Manufacturer: _____
System: _____
Version: _____
Account #: _____ Project #: _____

Review Date(s): _____
Auditor(s): _____

Manufacturer's Personnel	Position	Contact Information

Note: Bolded references indicate procedures/documents that must be performed/prepared by the system. With regard to the unbolded references, if the procedures/documents are performed/prepared by the system, the system will not be approved until those features either function in compliance with Nevada's regulatory scheme, are securely disabled in the system or are removed from the system. Underlined references indicate reports, records or source documents. The exact title for reports, records or source documents should be included in the comments column, where applicable.

General Controls

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NEVADA GAMING CONTROL BOARD
ASSOCIATED EQUIPMENT REVIEW CHECKLIST
CARD GAMES SYSTEMS

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	Pass	Fail	N/A	Comments
(e) The date or time period of the activity?				
(f) The date and time the document was generated?				
8. If the system backs-up daily data files, does the backup feature function properly? IT MICS #5a				
9. Is in-house developed or purchased software programs backed-up? Backup of purchased software is not required if software can be reinstalled by the vendor. IT MICS #5b				
10. Does the system directly store documents to unalterable media? If so,				
(a) Does the storage medium contain an exact duplicate of the original document? IT MICS #17a				
(b) Are all documents stored maintained with a detailed index containing the department and date? <u>Regulation 6.040(1)</u> & IT MICS #17b				
11. Is system exception information created (e.g. changes to system parameters, corrections, overrides, voids, etc.)? IT MICS #8				
12. Are IT personnel denied access to live data files? IT MICS #11c				
13. If the system is capable of generating security logs (e.g. multiple attempts to log on, denial of access to users after three tries, changes to live data files, etc.), are the logs accessible to IT supervisors for review? <u>IT MICS #13</u> Describe items that the log lists.				
REGULATORY COMPLIANCE (The following steps, where applicable, should be verified/tested through the system)				
14. If so designed, does the system require supervisor authorization prior to transfers between table banks and the main card room bank or casino cage? Card MICS #2				
15. If so designed, does the system document the verification of the card room dealer and the runner for transfers from the main card room bank or casino cage to the table banks? Card MICS #3				
16. If so designed, does the system access require authorization prior to transfers between the main card room bank and the casino cage? Card MICS #4				
17. If so designed, does the system produce documentation for transfers between the main card room bank and the casino cage? <u>Card MICS #4</u>				
18. If so designed, does the system require authorization of a supervisor if the rake is not collected in accordance with posted rules? Card MICS #6				
19. If so designed, does the system produce a record for the amount in the main card room bank on at least a per shift basis? <u>Card MICS #9</u>				
20. If so designed, does the system produce a check out				

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- form for the dealer (or other individual if the table is closed) and the supervisor to sign and attest to, when the table banks are counted, recorded, and reconciled on at least a per shift basis? Card MICS #10
21. If so designed, to account for promotional progressive pots and pools, are payouts for promotional progressive pots, pools and any other promotion for any amount greater than or equal to \$100 documented to include the following Card MICS #16:
- (a) Date and time?
 - (b) Dollar amount of payout or description of personal property?
 - (c) Reason for payout (e.g., promotion name)?
 - (d) Line(s) for the signature of two employees verifying, authorizing, and completing the promotional payout?
22. If so designed, does the system produce documentation to support bank accountability from which the payout was made, if the payout for the promotional progressive pot, pool, or other promotion is less than \$100? Card MICS #17
23. If so designed, are all contest/tournament entry fees and prize payouts summarized on an accountability document on a daily basis? Card MICS #27
24. If so designed, when individual contest/tournament entry fees and prize payouts are transacted, are they recorded in the system and does the system produce documentation which contains Card MICS #28:
- (a) Patron's name?
 - (b) Date of entry/payout?
 - (c) Dollar amount of entry fee/payout (both alpha and numeric)?
 - (d) A line for the signature or initials of the individual completing the transaction?
 - (e) Name of the contest/tournament?
25. If so designed, does the system summarize contest/tournament fees and payouts on a monthly document? Card MICS #29
26. If so designed, does the system record the results of each contest/tournament for participants' review which includes the following Card MICS #31:
- (a) Name of the event?
 - (b) Date(s) of the event?
 - (c) Total number of entries?
 - (d) Dollar amount of entry fees?
 - (e) Total prize pool?
 - (f) The dollar amount paid for each winning category?
27. If so designed, does the system record and maintain the names of each contest/tournament winner and can the names of the winners be suppressed unless authorized? Card MICS #31
28. If the computerized system records card games gross revenue (either on the master games summary or a monthly record), are the components of card games gross revenue in compliance with the definitions of NRS 463.0161, NRS 463.3715(1),(2) & (5) and

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Regulations 1.060, 1.150 and 6.110(4), (5) & (8)?				
29. If the system records, increments and pays out in-house progressive jackpots <u>Regulation 5.110(2) & (3)</u> :				
(a) Is a log created which records the base amount and the amount of the jackpot at least once a day?				
(b) Are changes to the rate of progression noted in the system records?				
(c) If there is a limit in the progressive amount, does the system impose the limit correctly?				
(d) Does the system record reductions/corrections to the progressive amount?				
30. If the system has an inter-casino linked system component does it:				
(a) In the case of a progressive payoff schedule that increases as the inter-casino linked system is played, have a minimum rate of progression for the primary jackpot meter of not less than .4 of one percent of the amount wagered? Regulation 14.045(1)				
(b) In the case of an inter-casino linked system featuring a progressive payoff schedule that increases over time, have a minimum rate of progression for the primary jackpot meter of not less than one hundred dollars per day? Regulation 14.045(1)				
(c) Allow the progressive payoff schedule to be limited as allowed by Regulation 5.112(5), "if so designed"?				
(d) Have a method to secure data transmissions between the games and devices and the main computer of the operator? Note: The method will be considered for Board approval as part of this review. Regulation 14.045(2)				
31. If the linked system records, increments and pays out inter-casino progressive jackpots <u>Regulation 5.112(3) & (4)</u> :				
(a) "If so designed" is a log created which records the base amount and the amount of the jackpot at least once a day?				
(b) "If so designed" are changes to the rate of progression noted in the system records?				
32. "If so designed" does the system create the following regarding an inter-casino linked system <u>Regulation 5.180(2)(h)</u> :				
(a) Progressive payoff schedule payout verification documents?				
(b) Exception reports?				
(c) End-of-day reports?				
(d) Progressive payoff schedule reports?				
(e) Game performance reports?				
(f) Weekly reconciliation reports?				
(g) Contribution to progressive payoff schedule reports?				
(h) Tax sharing methodology?				
(i) Others?				
TEST OF TRANSACTIONS				
Setup should include 1 card game area of at least 2 card tables and a card room bank. Access levels should be appropriately set to verify transactions which may need overrides. Transactions should take place over a minimum period of 3 days and should				

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include at least 2 shifts per day. Several patron accounts with front money and credit lines should also be set up if credit can be extended as part of the card games system. Prior to testing, beginning reports should be generated (e.g., card room bank, table banks, progressive pools/pots). Items listed below that the system cannot perform as part of the card games system should be marked “N/A – system cannot perform as part of card games”.

Card Games Transactions

Transactions should be rotated among the different tables, shifts and days.

33. Perform transfers between the card room bank and the table banks.
 34. Void some transfers.
 35. Perform sales for stakes/progressive pots or pools of each type.
 36. On the last day award a winner or winners for each promotion offered.
 37. Conduct a contest or tournament for each type.
 38. Collect entry fees.
 39. Award prizes to the winners of any contest or tournament.
 40. Issue markers using front money players and credit players.
 41. Issue a marker for a patron with an insufficient credit line.
 42. Issue a marker for a patron with insufficient front money.
 43. Void markers.
 44. Make partial payments on markers and issue redemption markers.
 45. Make a partial payment and then void the payment.
 46. Make marker payments using various types of payment types:
 - a. Front money (CDW's)
 - b. Cash
 - c. Chips
 47. If so designed, apply one payment to several markers for the same patron.
 48. Make marker payments using various types of payment types and then void the payment.
 - a. Front money (CDW's)
 - b. Cash
 - c. Chips
- Verify the patron's available line of credit decreases and then increases.

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49.	Individually transfer a marker to the cage.				
50.	Initiate a mass marker transfer, void the transfer and then make a payment on one of the markers.				
51.	Perform a mass marker transfer.				
52.	Perform card room drop.				
53.	If the system has a currency counter interface perform the drop as follows: a. Using pre-counted money, run money through the counter for each table. b. Verify that the number of bills and denominations are accurately reflected on the counter tape or report by table and in total. c. Trace the drop totals by table and in total to the daily card games recap report.				
54.	If there is not a currency counter interface perform a manual drop. Verify the drop entered by table and in total traces to the daily card games recap report and the master gaming report.				
55.	Trace all source documents (markers, payments, etc.) generated to the master gaming report and other applicable reports.				
56.	Foot and cross-foot all system reports.				
57.	Perform a reconciliation of the card room bank.				
58.	Record progressive amounts.				
59.	Verify progressive pools have properly incremented.				
60.	Verify the system properly paid out and calculated winners of any progressive pots, pools, contests or tournaments.				
61.	Verify exception reports document all adjustments, voids and overrides.				
	Back Office Accounting				
62.	Void the following documents from accounting: a. Card room bank transfers b. Markers				
63.	Add the following manual documents: a. Card room bank transfers b. Markers				
64.	Void one of each type of manual document.				
65.	Adjust the drop.				
66.	Verify all adjustments and voids are accurately stated by tracing into all applicable reports.				
67.	Foot and cross-foot all reports affected by any adjustment or void to verify the accuracy of the totals.				
68.	Does the system prohibit changes to the card room				

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drop past the posting of the period?

69. Do exception reports document all adjustments, overrides and voided activity?

Returns Items and Write-Offs

Note: If the card games system cannot generate markers this section should be marked “N/A – system cannot perform for card games”.

Complete the following steps over a three day period. Use an established base of issued markers from which to perform transactions. If transactions need a day to lapse prior to performing additional transactions a fourth day may be required to establish a base of returned markers.

Prior to completing the following transactions generate all reports (i.e. marker aging reports, marker deposit reports, returned item aging reports, write-off aging report). While performing the following steps it may be helpful to generate before and after reports to track the transaction.

70. Deposit 30 or more markers.

Note: On the first day of testing 50 markers and checks should be deposited since these will be used to generate future return transactions.

71. Using the deposit information return 20 markers.

72. Post partial payments and full payments to returned items.

73. Post additional partial payments to return items that had payments posted on a previous day.

74. On the second day redeposit an item that was previously returned.

75. Void a partial and a full payment on returned items.

76. Write-off several of the following items:

- a) Returned marker with no payments posted.
- b) Returned marker with a partial payment posted.

77. Post full and partial payments to written-off items. Be sure to post payments to items written off on previous days.

78. Early clear a deposit.

79. Void a marker in deposit status.

80. Reverse an item (change the status) of an item that was written off.

81. Verify all return and write-off activity is presented accurately by following the transactions through the various reports. This step is best accomplished when reports are generated before and after the transaction.

82. Foot and cross-foot all return and write-off reports to

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verify the accuracy of the totals.

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